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ABSTRACT

This report summarizes and draws implications from a two-year pilot program in which 12 elementary school principals received training designed to help them become more effective leaders in their own school settings. The goal of the program was to enable participating principals to define and enact the leadership roles best suited to their particular leadership styles, the needs of their schools, and the concept of the educational leader as a humanistic change agent. In addition, the program was intended to provide data relevant to the selection and training of principals and to study the leadership functions and personal competencies necessary for the creation of an effective elementary school. Individual chapters of the report discuss the program design, competence and growth of participating principals, change in the participating schools, an analysis of training activities, and various implications and recommendations resulting from the program. (Author/JG)

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REPORT OF THE PROGRAM FOR THE DEVELOPMENT OF THE ELEMENTARY SCHOOL PRINCIPAL AS AN EDUCATIONAL LEADER

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INTRODUCTION

This report summarizes and draws implications from the Program for the Development of the Role of the Elementary School Principal as an Educational Leader, a two year pilot Program in which 12 elementary school principals developed competencies to become more effective leaders in their own school settings. Sponsored jointly by the Chase Manhattan Bank, the Learning Cooperative of the Board of Education of the City of New York, and the Bank Street College of Education, the Program highlighted the principal as the key factor of change in the public school.

Chapter I.

PROGRAM DESIGN

"... any proposal for change that intends to alter the quality of life in the school depends primarily on the principal." (Sarason, 1971)

The focus on the principal as an educational leader resulted from a growing awareness, through years of participation in school change, that the head of an elementary school is a key determinant of the quality of the school. This conclusion, derived from several training programs conducted by the College for school personnel, was reinforced in a study tour of the English primary schools by a group of Bank Street staff and students in the Spring of 1971, and has been confirmed in several published studies (Academy for Educational Development, 1972; Klepak, 1974).

Begun in the Spring of 1972, the Program was designed to explore the hypotheses that principals functioning as educational leaders develop a more effective learning environment for children, and that principals can become educational leaders through certain training processes. The Program was more than a training program for the 12 participating principals, however. As a pilot project, it was designed to provide data for deriving implications relevant to the selection and professional preparation of principals for this role. Another purpose was to define the role of the educational leader by isolating the leadership functions necessary for the creation of an effective elementary school, and the competencies required in the enactment of each function.

The Participants

The 12 participating principals were involved in the Program on a voluntary basis and retained their positions as heads of their schools throughout the Program. They were selected for openness to new ideas and to change, a potential for growth, and to provide a broad spectrum of school settings, child populations, personal needs and leadership characteristics. Eight of the 12 participants headed New York City schools, and four headed schools in areas adjacent to the City. Seven of the principals were white, three were black, two were Spanish speaking; and five were women. Elementary schools represented by the participants ranged from K-2 to K-8 (one principal moved from an elementary school to a junior high in the middle of the Program), and in numbers of children from 230 to 1560.

The Training

Unlike traditional programs in which students take courses on a piecemeal basis, the Program offered a total Gestalt of experiences in which the many facets of the principal's role could be examined in relationship to one another, and which provided an ongoing support system of peers and staff who cooperatively analyzed each school situation and supported one another's continued development and growth as educational leaders.

The Program was developmental, with the focus of training evolving from the continuous assessment of the needs of participants and their schools. Needs assessment was provided through participant identification of school problems and formulation of school and leadership objectives for each year; through ratings of participant competencies completed by program staff, by staff of participating schools, and by participants themselves; and through staff observations from visits to the schools and conferences with participants. During the first few months of the Program four areas emerged as priorities from this assessment: the definition of the role of the principal; the planning process, including setting goals and objectives, plan-

ning program strategies and conducting program evaluation; the creation of a total learning environment; and understanding the adult as a learner and the change process involved in adult learning.

A reassessment of participant progress and continuing needs at the end of the first year led to the formulation of the following overall training goal and objectives, which guided planning for the second year.

Goal

To enable participating principals to define and enact the role of the educational leader best suited to their individual leadership styles, the needs of their school-community population, and the concept of the educational leader as a humanistic change agent.

Training Objectives

1. To enable participants to become aware of self as an educational leader.

2. To enable participants to develop and define goals, objectives and strategies for their schools and for themselves, so that their schools are more relevant to meeting the educational needs of their school populations.

3. To enable participants to develop a program of school assessment.

4. To enable participants to understand how adults learn, and to conduct staff development programs.

5. To enable participants to assess the competencies of their staffs.

6. To enable participants to understand the learning and growth of children.

7. To enable participants to develop child assessment procedures.

8. To enable participants to become competent in curriculum development.

9. To enable participants to develop their schools as total learning environments.

10. To enable participants to become more competent in school management: organization, finance, personnel.

11. To enable participants to be more effective with parents, parent organizations, and communities.

Five principles of adult learning, considered necessary concomitants of adult change, formed the basis for training experiences.*

1. *Clarity of role expectations and needed competencies.* Because of the adult's tendency to develop a shield of self protection, an analysis of role expectations and needed competencies becomes a threat; a statement of role expectations reduces this threat and helps the adult relate the new experience to self. Role expectations were defined in a set of leadership competencies for the elementary school principal; these provided the basis for the competency ratings referred to above. The competencies underwent several revisions during the Program, with the principals, as well as program staff, participating in the modification process.

*A more extensive analysis of the training processes used is given in *The Principal and Staff Development in the Elementary School*, by Gordon J. Klopf (see Appendix).

2. *Developing an awareness of self.* To change professionally, the adult must understand the real self and analyze how this self is reflected in various role enactments. Self awareness was stimulated through a variety of growth exercises conducted during weekend Institutes at the College; through feedback from competency ratings by self and others; through visits to the schools by staff and other participants; through analysis of videotapes and role playing exercises; and through a wide variety of consultation processes used in situations ranging from individual conferences with program staff to total group discussions.

3. *Gaining new knowledge, concepts and techniques.* Adults tend to act and believe in certain set patterns until they are convinced of the significance and practicality of new information or techniques. Many adults are generally well disposed toward becoming involved in new learning provided they can perceive the importance or relevance of the new idea. New knowledge was provided through lectures, reading, seminars, workshops, slides and videotapes, role playing and simulations. Topics covered also varied widely and included such areas as child development, curriculum, parent-community relations, etc.

Highlighting the training program each year was a major trip, consisting of a two-week study tour of English primary schools during the first year and a ten day field trip to alternative schools in the Berkeley, Oakland, and San Francisco public school system during the second year. These exposed participants to models of educational leaders in a variety of alternative educational settings, thus stimulating participant commitment to further growth, as well as providing them with new ideas and knowledge. Extensive analysis and discussion of the visits occurred both during the trip and in succeeding weekend Institutes.

4. *Commitment to learning and growth.* As persons grow older, they usually are less willing to risk failure. For this reason, they need to anticipate a high probability of success before they

will initiate change. Although commitment to learning and the development of new competencies was a prerequisite to program participation, this was further encouraged through the involvement of participants in planning for the weekend Institutes, and through participation as enablers of each other, leading many workshops and discussion sessions. Also, during the second year of the Program, participants were encouraged to become more inolved in each other's professional and school concerns through the formation of three small groups of principals with related school and leadership needs who worked together during each of the Fall weekend Institutes.

5. *Experiencing and practicing new competencies.* In new situations, adults need supportive feedback on their performance and a collaborative atmosphere in which to practice new approaches, to analyze their effectiveness and to try again for as often as necessary to achieve positive results. Participants' schools provided a natural laboratory for learning; it was here that they experimented with new ways of performing their educational functions. Feedback on their efforts was provided in a number of ways: from conferences with program staff, consultants, and fellow participants in Institute sessions and following visits to the schools; from group analysis of videotapes of participants and their staffs; and from sessions in which participants served as enablers of each other.

Of particular importance to their school efforts was the requirement that, for each year of the Program, participants work with their staffs to develop a set of goals and objectives for their schools relevant to their own child populations and school-community settings. From these were derived a set of leadership objectives for the principal, strategies for implementing the objectives, and evaluation procedures for assessing the effectiveness of particular change strategies, thus providing participants with feedback on their efforts from their own school situations.

Chapter II.
PARTICIPANT COMPETENCE AND GROWTH

> "The majority of principals are confident of their ability to oversee the routine operation of their building, but relatively few have any degree of confidence in their ability to assume a leadership role in instructional improvement." (Becker, 1971).

Central to the process of self examination and change that each participant engaged in was the analysis of competency needs and strengths. At the beginning of each year of the Program, competency ratings were completed by participants and program staff; these were discussed in individual conferences with each participant, and formed the basis for many of the leadership objectives defined by the principals during the two years. This Chapter presents a group profile of participant competency needs and strengths (based on 1974 ratings) and summarizes the major areas of participant growth during the Program.

Participant Competency Profile

Participants were rated according to their strength on each of the 65 competencies comprising the taxonomy. The taxonomy was divided into five areas: management and administration;

developing a humanistic climate; parent-community relations; providing an inservice program (competencies concerned with organizing and making arrangements for staff development functions to occur); and staff development activities (competencies concerned with the principal functioning as an enabler of other adults).

As a group, participants saw themselves, and were seen by staff, as more competent in the management and administration of their schools than in any of the other areas; it was here that they had the greatest strengths and fewest needs. Such managerial competencies as administering finances within budgetary guidelines, effectively assigning staff within the school, responding to program, staff and building needs in preparing the budget, etc., are all examples of this strength. The importance of participant strength in this area should not be underestimated, since the effective functioning of an organization of from 200 to 1700 people requires considerable managerial skill.

Staff and participant ratings were generally in agreement, with one area as an exception: developing a humanistic climate within the school, rated second in strength among competency areas by participants, and fourth by project staff. Whereas participants cited three competencies as strengths in this area—developing open and honest relationships with others, encouraging close relationships among staff, and eliciting ideas and suggestions from staff—the first two of these were considered needs by program staff, as was establishing a rapport within which the other person feels free to examine self. Thus, the competencies which program staff and the principals perceived differently were all concerned with one issue: the relationships between the principals and their staffs, which participants tended to see more positively than did program staff.

Rating third in participant ratings, and second in staff ratings, was providing an inservice program for the continuing development of the staff, primarily concerned with organizing and making arrangements for staff development functions. Help-

ing staff to attend workshops, conferences and institutes were rated as strengths in this area, and participants also rated arranging for teachers to visit innovative programs as a strength. Only one competency—helping staff understand child development—was considered a need by both groups.

Developing a cooperative parent-community relationship was considered an area of need by staff and participants; the only competency rated a strength in this category was accurately identifying the characteristics of the community. Several needs in this area were concerned with the communication process—involving staff in communicating to the community, helping staff develop a dialogue with parents, etc. Also identified as needs were competencies concerned with analyzing community needs: developing survey procedures for assessing needs of the community was rated a need by both staff and participants, and analyzing the climate for change and interpreting strategies for change to parents and community was rated a need by staff.

Both staff and participants agreed that the competencies in the category called staff development activities comprised the greatest area of need for the principals. Unlike providing an in-service program, which focuses on planning and arranging staff development functions, this category is concerned with the principals' conducting the activities themselves, working with staff on a variety of problems ranging from implementing strategies for school objectives to diagnosing learning needs of children. Those competencies rated as needs in this area (both by participants and by program staff) were concerned primarily with the principal being analytical and diagnostic about staff, children, programs and themselves. Identifying teacher needs and helping staff diagnose learning needs, styles, and special strengths of children are examples of this, as is helping staff with record keeping. These competencies all require the principal to have a knowledge of assessment techniques; to be analytical and diagnostic; and to be able to work with staff on these critical problems, which are among the most difficult of any in a school.

It is not surprising that the greatest participant needs were in this area. Those competencies considered as strengths in this area were concerned with securing resources and materials.

Sex Differences in Competency Needs and Strengths

In comparison to their male counterparts, the female principals in the Program were all in city schools, were mostly nonwhite, and tended to be in smaller schools. In competency ratings, they rated themselves, and were rated by staff, higher in staff development activities than males, particularly on those competencies requiring diagnostic skill. On the other hand, the males rated themselves higher in working with the community than did the females, particularly those male heads of suburban schools. Many factors could have influenced these differences, including previous training and experience, differences in values and interests, and the tendency to conform to preconceived ideas of what men and women are supposed to do.* The presence of sex differences in the competency ratings of both staff and participants raises a number of fascinating research and policy questions that cannot be answered within the context of the present program. These questions are important, however, because of their implications for the process of principal selection; i.e. should a school with difficult community relations problems deliberately select a man because he is likely to be better at community relations?

Perceptions of Growth

To what extent can principal competencies and behavior be influenced by training? The following paragraphs summarize participant and project staff perceptions of participant growth, as indicated by competency ratings and by participant questionnaires completed at the end of the Program.

*Similar sex differences in the competency ratings of 50 principals of schools with Right-to-Read programs were reported by Flake (1974).

Participant questionnaire responses indicated that personal development was considered by all of them to be the most significant aspect of their growth over the two year period. An improved interpersonal competence, fostered by more sensitivity to others, a greater ability to motivate and encourage others, and a greater acceptance of conflict, was among the things mentioned by participants, as was the development of a better sense of direction, and more enthusiasm.

One principal described his growth this way:

> *"Between 1969 and 1971 I was able to outline and express my goals in terms of my career path without any difficulty. It was, simply, to be a Superintendent of Schools by sometime between the period of 1974 to 1976. Shortly after acceptance of the position of principal at my present school, I began to realize that I had become considerably less certain of my previously decided upon career path. During the period between September 1972 and June 1974, because of my association with the Chase Leadership Project, I began to identify that the reason I was experiencing uncertainty in terms of my career path was because of the original reasons underlying my thinking between 1969 and 1971. I recognized that my motivations were based on ego needs to be in the position of chief school officer, in order to bring about change through authority. My intensive two year involvement with the Chase Project, in conjunction with the kinds of program developments I was able to bring about at the school, made it possible for me to realize the superficial nature of my original career path motivations, and to recognize that if I ever were to assume the leadership responsibilities of a Superintendency, it would be on the basis of some higher level leadership skills, and because of the ability to help change occur through the process of facilitating and enabling the personal/professional growth of staff."*

Both staff and participant competency ratings agreed that the staff development areas reflected the greatest competency growth during the Program. Providing an inservice program, followed by staff development activities, ranked first and second, respectively, in both staff and participant competency ratings of

growth. Many of the staff development competencies indicated as areas of growth were concerned with diagnostic and evaluative skills—identifying teacher needs and outlining steps for improvement, helping staff diagnose learning needs and styles of children, helping staff develop an assessment program for the school, and analyzing the climate for change in the school—skills indicated as needs by many participants. Other staff development competencies rates as areas of growth ranged from helping staff implement strategies for objectives to the use of such interaction techniques as consultation, confrontation, etc.

Developing a humanistic climate within the school rated third in growth by both staff and participants; competencies reflecting growth in this area were developing open and honest relationships with others, eliciting ideas and suggestions from others, helping staff develop goals and objectives for the school and delegating leadership responsibilities. It is interesting that although staff and participants disagreed about the relative strength of participants in this area, they did agree that participant competence in developing a humanistic climate had improved over the two years.

Three participants described how their relationships with their staffs have changed as follows:

> *"I openly share my opinions. I take every opportunity to let the staff know of my position . . . I openly try to identify those needs of others that are important to them . . . so that I might better make decisions relative to the personal needs of others. My staff is aware of my struggle to accomplish this impossible task."*

> *"I have given more responsibilitity to my administrative assistant. I have given teachers the opportunity to be more involved in building programs and assuming responsibility for their growth. I have become more involved in the professional growth of teachers not merely in how they operate in school, but also in their efforts outside of the immediate environment."*

> *"My associations and experiences with the Program have provided me with a greater awareness of self as a developing unfolding entity. I have also become aware of the importance of other people's perceptions of myself in terms of the establishment of mutually helpful relations . . . I understand myself to be a learner in the process of philosophical refinements and changes. My own experiences now help me to become more accepting, supportive and helpful to others. Most importantly, I am now more comfortable in the presence of conflicting opinions. I can now take such differences in stride as part of the problem-solving process."*

Competence in community relations did not rank high in either staff or participant perceptions of growth, with only one competency—analyzing the climate for change and interpreting it to the community—being rated as an area of growth by both groups.

Management, the area of greatest competency strength, was the area of least growth during the two year period. Only those competencies relating to establishing and evaluating objectives for the school were rated as an area of growth for the group.

Sex Differences in Perceptions of Growth

The tendency to consider personal development the most important aspect of growth was stronger in male principals than in the females. The males were more likely to indicate growth in their relationships with others and in being aware of how they are perceived by others. The following comment is typical of the descriptions of several of the male principals of their growth experience:

> *"I spend considerably more time listening to and talking with people, as opposed to just giving them an audience, and thereby have been able to become more sensitive to their needs as individuals."*

Female principals, on the other hand, tended to describe their personal growth as developing a better leadership sense and having more patience and less anxiety about their role. One female participant described her reactions this way:

> *"Over the past two years, I have been able to share much more responsibility for the operation of the program with many more staff members. I have sensed and experienced a greater feeling of security in my role function as supervisor acting more as a cooperator in the process . . . I feel some growth has taken place in my understanding of myself as a learner. I am learning to approach my function not with less excitement but with less anxiety since some of the infant ideas are beginning to come of age."*

New Leadership Activities

The principals were unanimous in considering their participation in the Program to have been a significant growth experience. One aspect of this growth, noted by both program staff and others attending the weekend seminars was an increase in the amount of conceptual analysis by participants. Group discussions, initially focused primarily on specific incidents, gradually shifted to a consideration of underlying principles and concepts as the Program evolved.

Another aspect of participant growth was the increased leadership efforts and activities of the participants both within and outside of their schools. These activities took many forms, from the initiation and expansion of various efforts within their schools to the assumption of leadership positions in professional groups in the larger educational community. Among these efforts were:

- 8 principals who increased the staff involvement in planning for the school, including three who initiated new committee structures to focus this involvement;

8 principals who developed increased staff leadership within their schools;

8 principals who increased the staff development activities within their schools, including two who began to do classroom demonstrations for teachers for the first time; and

3 principals who increased community involvement in planning for the school.

All of the principals expanded both the principal's and the school's role in the larger community. These efforts included:

6 principals who became trainers of other principals by conducting workshops or making presentations to groups of principals;

3 principals who began to make media and other public presentations and appearances;

2 principals who became chairmen of committees of principals concerned with some problems in their school districts;

1 principal who conducted workshops for groups of teachers in his school district;

1 principal who developed his school as a demonstration center;

1 principal who began to assume a leadership role in other community activities;

1 principal who established a liason with a local College; and

1 principal who obtained outside funding for school activities.

In the laboratories of their schools, the principals worked towards creating more effective learning environments for the children. The next chapter summarizes their efforts to create change in their schools.

Chapter III.
CHANGE IN
PARTICIPATING SCHOOLS

The participating schools differed greatly in the type of setting, child population, and community concerns they reflected. The Program did not advocate a particular educational model and individual participants and their staffs were encouraged to design their own educational program tailored to meet the specific needs and interests of their school community. Therefore a standard evaluation procedure for all schools was deemed inappropriate, and participants and their staffs analyzed the problems of their own schools, developed goals, objectives and strategies for dealing with these problems, and devised individual procedures for assessing the effectiveness of their change strategies. The following paragraphs summarize some of the changes that are included in the evaluation documents submitted by each participant.

Major School Changes

At the end of the Program, participants were asked to identify those changes that they considered most important in their schools. Table I shows, for each of several areas, the percent of major problems, school and leadership objectives, and major school changes identified in that area, and summarizes some of the types of changes that occurred.

TABLE I. PERCENT OF SCHOOL PROBLEMS, OBJECTIVES, AND MAJOR CHANGES BY AREA

Area	% by Area Problems	Objectives	Major Changes	SomeExamples of Major School Changes
Climate	11%	6%	31%	1 school in which an evaluation prepared by staff reported better working relationships among staff in Spring 1974 1 school which reported: negligible vandalism, no fire alarms, no teacher assaults, no teacher grievances, and the highest attendance in the district.
Curriculum	14%	31%	26%	7 schools in which there was a substantial increase in the number of classrooms with learning centers 7 schools in which the options or variety of experiences offered to children greatly increased 4 schools in which the reading program improved and reading scores went up 2 schools in which alternative educational programs (other than open classrooms) were developed and a third for which alternatives are planned for 1974-5.
Staff Development	12%	22%	18%	5 schools in which there was greater staff involvement in planning activities for the school 3 schools in which there was a significant increase in the amount of staff leadership in the school
Environment	6%	7%	13%	5 schools in which participants reported an improved aesthetic environment
Community Relations	13%	10%	10%	2 schools in which there was an increased involvement by parents in the school 1 school in which the parent visitation policy was revised 1 school that established a liason with a local College
Management	11%	1%	3%	1 school that developed a modernization plan for the entire school building
Other	33%*	24%	0%	

*Includes many problems over which the school has no control, eg neighborhood deterioration, etc.

School Climate. All of the participants reported that the climate of their school and the morale of their staff had improved during the two years, although for most of them, this had not been a specific objective (and therefore very little evaluation data is available in this area). It may be that participants and their staffs worked hard on this problem even though no objective had been formulated, or that an improved school climate occurred as a result of other changes that were made. Some principals said that the process of working with staff to formulate and evaluate school objectives had resulted in improved staff morale.

In one school in a community with many urban problems, the principal and his staff worked intensively on creating a humanistic education program for the entire school. Their plan included sessions in values clarification, self-exploration, and mutual problem solving for all staff and children in the school. In addition, guidance counselors were used as trainers in humanistic education techniques, doing class demonstrations and holding workshops after school for teachers and paraprofessionals and providing individual counseling services to children. As a result of these efforts, the principal reported in 1974 that the incidence of discipline problems had declined impressively, with the number of children who were referred by teachers to the guidance counselors for behavior problems decreasing from 720 to 494. Also, the amount of vandalism in the school had become negligible; there were no fire alarms, no assults on teachers, no teacher grievances, and the attendance rate was very high (the best in the district, despite the fact that most of the children were bussed).

Curriculum. Not surprisingly, nearly one third of the leadership and school objectives during the two years were in the curriculum area; all of the principals had some curriculum objectives, and 10 of the 12 reported major changes in curriculum during the Program. Many types of changes occurred, varying with the needs and interests of the schools involved.

CHANGE IN PARTICIPATING SCHOOLS

Several schools worked toward the development of more openness and opportunities for independence in children, and in seven schools, there was a substantial increase in the number of classrooms with learning centers. In one urban school, which had already begun to work on developing an open learning environment, the continuation of this change effort was a major thrust for the principal and her staff. Many change strategies were used: teachers visited a nearby teacher center and the Bank Street School for Children to get ideas; demonstration classrooms were set up on the 3rd and 4th grade level with special monies and consultant assistance from the District Office; and a large number of school-wide, grade level, and individual conferences with staff were concerned with the purposes of centers, teacher-made and commercial materials for centers, the management of center activities, and the cooperative evaluation of centers. By the end of the Program in 1974, all of the classes had learning centers where children worked at least part of their day, and many teachers were beginning to use task cards, individual contracts with children, logs, and a variety of other techniques for working with children on a more individualized basis.

For some schools, the emphasis of curriculum development efforts was on increasing the number and variety of learning experiences offered to children; seven principals reported that an increase in the options offered to children was a major change in their schools. In 1972, one principal of a suburban school described his building as "traditional and regimented." For the two years of the Program, he devoted much of his energy to increasing the variety of learning experiences available to children and to providing greater opportunity for self-initiated learning activities. Two years later, his school environment testified to his success in achieving these objectives. From a "small zoo" of 45 animals and 150 fish (cleaned and fed by students), to a red-carpeted early childhood learning center, to a pottery workshop wrested from an unused shower room, the school now reflects a vitality and child focus that are the antithesis of regimentation.

Children are doing leatherwork, photography and weaving in nine of the school's 17 classrooms; 7th and 8th grade children tutor younger children on a regular basis each week; and the instructional program has been extended to include an expanded art and music program, an activities period each week with a variety of alternatives for 6th through 8th graders, and an after-school program of activities ranging from chess to basketball.

For two of the larger schools, the development of alternative educational programs (other than open education classrooms) was a major focus for the two year period, and in a third school a similar thrust is planned for 19745. In one urban setting, the entire school was reorganized into six mini-schools, each with a different educational focus. A committee of teachers and administrators worked with the principal to select proposals from among several submitted by staff. A diagnostic evaluation was prepared for every student prior to his placement into one of these mini-schools in the Fall of 1973. Head teachers for the schools were given release time for their coordination responsibilities, and mini-school staff met together for seminars and planning sessions twice a week during the school year. At the end of the first year of operation, a committee of staff and administrators conducted an intensive evaluation in which staff response to the new organization was very enthusiastic.

In another suburban school, the creation of alternative learning environments was a response to conflicting community demands, with some parents desiring a progressive open educational program and others preferring a more traditional approach with an emphasis on basic skills. In response to these demands, several alternatives were created. An open classroom experiment was initiated in selected classrooms supported by consultation service from a nearby teacher center; the 6th grade was reorganized with three of the five teachers working as a semi-departmentalized team; and a Grade 2-4 multi-age unit of 75 children and three teachers was created. Other teachers continued to work in self contained classrooms, thus creating a wide variety of educational alternatives for children.

Finally, several principals were concerned with the reading programs and scores of their children, and improvement in this area was reported as a major change by four principals. In one urban school, the principal created a new position of teacher trainer to work with staff in developing diagnostic/prescriptive techniques in the teaching of reading, set up a hi-intensity reading lab emphasizing those techniques for the 5th grade, and established a reading skills center with a similar focus for Grades 3 and 4. These efforts by the principal and her staff were rewarded in the Spring of 1974 by somewhat improved reading scores, especially in Grades 4 and 5.

Staff Development. Nearly one quarter of the objectives were concerned with staff development, and this is actually an underestimate of the principals' efforts in this area because often staff development activities were considered strategies for other objectives. All of the principals had objectives in this area, and seven of them considered this to be an area of major change in the schools. Many kinds of activities occurred, ranging from individual and group conferences, through the provision of consultation services and the creation of opportunities for teachers to visit schools and other resources in the community, to the initiation of efforts by some principals to assist teachers by giving demonstrations and other forms of assistance in the classrooms.

During the Program, participants began to realize the importance of developing leadership among their staff to assist in the enactment of school functions, and by the second year, nine of the 12 participants had the development of greater staff leadership as an objective. For one principal, this issue became particularly critical when he moved from an elementary to a junior high school in a suburban community in the Summer of 1973. Developing educational leadership in key personnel became one of his top priorities in this more complex departmentalized school. Department heads who previously had functioned mainly as administrators and coordinators were now required to focus departmental staff meetings on issues of educational concern, and to be responsible for evaluating and enabling the

further development of their teachers. The role of the assistant principal was redefined to include responsibility for some staff supervision and curriculum planning, as well as handling student discipline. Considerable support and staff development by the principal was required for these role changes to occur but in the Spring of 1974, he was able to report that 100% of the department heads were now working as supervisors and enablers of their teachers (compared to 40% in 1972-3).

Environment. Other areas of school change included the environment, both the aesthetic environment of classrooms and hallways, and the lunchroom environment. Inspired by the model learning environments they had seen in the English schools, many participants returned home determined to improve their own school buildings; five principals considered this a major change in their schools.

In one school, teachers and children were encouraged to build and decorate bulletin boards throughout the school, and to paint murals for school walls. Many of the teachers and children also painted their own classrooms, and a display area was created in the entrance of the school building. In other schools, slides and film strips were used in teacher meetings to study school environments, and many participants increased the amount of children's work in display throughout the building.

Community Relations. Several participants were concerned with school community relations; their problems included how to communicate with parents, how to establish a functioning School Advisory Council, etc. For four participants, this was an area of major change during the two years. In one suburban school, the parent visitation policy, long a source of friction with the community, was revised; another urban school with many problems established a liaison with a local College which will provide student teachers and other kinds of services to the school in future years; and in two schools, there was increased involvement by parents in the school program.

Management. Some of the participants identified management problems in their schools, although only one principal identified an objective in this area during the two years. This principal's school, a two-building complex in great need of physical repair, is a very large elementary school in a lower socio-economic urban neighborhood. In the Fall of 1973, the principal formed a committee of staff, parents, administrators and District Office personnel to develop a complete remodernization plan for the school which would include a separation of the two buildings into two separate schools (one K-2, and one 3-6) with separate administrations. As a result of considerable organizational effort, this plan received the approval of the City government, and modernization was scheduled to begin in the Fall of 1974.

Sex Differences in Principal Change Efforts

There was a tendency for the male principals to formulate more objectives and report greater progress in the development of staff leadership than the females, and this was true for male principals of both large and small schools. Male principals also worked more on, and reported greater changes in the aesthetic environments of their schools than did the females. This was a surprising finding which contradicts prevailing male-female stereotypes. It may, however, be a consequence of the Program, in which participants were given many opportunities, both at Bank Street, and in the English schools, to observe as models men in educational leadership positions who had a strong commitment to the arts and to aesthetic values.

Female principals, on the other hand, formulated more objectives and reported more changes in curriculum, particularly in moving the whole school toward more openness through developing open classrooms and learning centers. As noted earlier, the females rated themselves and were rated as having greater competence in those staff development activities most directly concerned with curriculum change, and presumably this accounts for their greater accomplishments in this area.

Relationship of Successful School Change and Principal Competence

The principal's competence in an area did not appear to be related to his tendency to identify problems or formulate objectives in that area. Thus, objectives were formulated where problems had been observed, and this seemed to be determined primarily by characteristics of the school itself. However, the principal's competence in an area was related to his reporting a major school change in that area. Thus, principals who were rated higher in school climate reported more changes in school-community relations and principals rated higher in staff development activities reported more changes in curriculum. Although these relationships are based on only a few principals, and are therefore not conclusive, they do suggest the importance of the principal's competence in creating school change.

School Change: A Complex Process

The initiation and implementation of changes in a school is a very complex process, which has been summarized only briefly above. An analysis of the objectives evaluations indicates that, of the changes that did occur, some were initiated by the School District Office and implemented by the principal, some were initiated by individual staff members in the schools and facilitated by the principal, and many were initiated by the principal himself. All of these types of situations are important avenues for change; what differentiates one principal from another may well be the ability to provide the necessary support and follow through activity for implementation.

All of the participating schools changed during the two year period, although there was great variability from school to school in the areas and amount of change. It should be emphasized, however, that amount of change is not a perfect indicator of quality in a school, and that some changes are more difficult to implement than others. Moreover, change is not necessarily im-

provement, and too much change may be an indication that the support necessary to sustain a particular change and insure its quality is not being provided. A much more extensive and in depth evaluation of each specific change would be necessary in order to make definitive conclusions about the impact of that change within the school.

Chapter IV.
ANALYSIS OF TRAINING ACTIVITIES

In a program in which experiences are interrelated and built upon one another it is difficult to separate out the relative impact of various components. Nevertheless, it was clear that some training activities had a greater impact than others. To provide some information about which training activities were most effective, both staff and participants were asked to rate each of the major strategies used to achieve each training objective; Table II summarizes the results of these ratings.

Most Effective Strategies

Objective 1, enabling participants to become aware of self as an educational leader, had the largest number of most effective strategies. Some of these were group training activities, such as role playing and analyzing videotapes of various situations involving both participants and others. Others involved individual work with participants, such as helping them develop objectives and strategies for their schools, analyzing and discussing their competency ratings, and having other individual conferences with staff on a variety of topics. Finally, providing an opportunity for formal and informal sharing with other participants on a continuing basis was judged to be a most effective strategy.

Objective 4, enabling participants to understand how adults learn and to conduct staff development programs, also had a

TABLE II. EFFECTIVENESS OF STRATEGIES FOR EACH TRAINING OBJECTIVE

Training Objectives	Most Effective	Effective	Less Effective	Least Effective
1—Aware of Self as Educational Leader	Role playing Analysis of videotapes Development of goals and objectives Discussion of competency ratings Conferences with participants Formal and informal sharing	Lectures and presentations Discussions of school visits Mini-seminars on staff development Small groups with similar objectives Use of participants as trainers Staff visits to schools	Reading material Case studies Films Principal logs Self-exploratory exercises	Consultants to schools
2—Develop Goals and Objectives	Individual staff work with participants	Participant-led workshops on assessment Mini-seminars Small groups with similar objectives Staff visits to schools Formal & informal sharing	Lectures and presentations	Reading material
3—Develop School Assessment Program	Development of goals and objectives	Participant-led workshoips on assessment	Lectures and presentations Discussions of school visits	Reading material

			Small groups with similar objectives Staff visits to schools Formal and informal sharing	
4 Staff Development and Understanding Adult Learning	Presentations and lectures Videotape analysis Conferences with participants Formal and informal sharing	Case studies School visits Discussions of school visits Mini-seminars Role playing Self-exploratory exercises Staff visits to schools	Films Workshops for other staff of schools Teacher visits to Bank St. Consultants to schools	Reading material Register for courses
5 Assess Staff Competencies		Discussions of school visits Role playing Videotape analysis Staff visits to schools Conferences with participants Formal and informal sharing	Presentations and lectures Case studies Participant-led workshops Mini-seminars	Reading material Consultants to schools
6 Understanding Child Learning and Development		Lectures and presentations School visits Discussions of school visits Formal and informal sharing	Reading material Participant-led workshops Consultants to schools	

7—Child Assessment		School visits Discussions of school visits Formal and informal sharing	Presentations and lectures Reading material Participant-led workshops Staff visits to schools	Consultants to schools
8—Curriculum Development	School visits Discussions of school visits	Presentations and lectures Staff visits to schools Formal and informal sharing	Teacher visits to Bank St. Consultants to schools Conferences with participants	Reading material Mini-seminars
9—Developing a Learning Environment	Visit other schools Discussions of school visits	Presentations and lectures Develop goals and objectives Small groups with similar objectives Teacher visits to Bank Street Staff visits to schools Conferences with participants	Films Consultants to schools	Reading material Mini-seminars
10—Management*		Participant logs Staff visits to schools Formal and informal sharing	Presentations and lectures	Reading material
11—Community Relations		Conferences with participants Formal and informal sharing	Presentations and lectures Case studies Staff visitsto schools	Reading material

* Note that management does not include the development of goals, objectives, and evaluation procedures for the school, which are separate training objectives.

number of very effective strategies. Presentations and lectures were judged very effective here, as were three strategies also rated most effective for Objective 1: analyzing videotapes of themselves and others, individual conferences with project staff on a variety of topics, and providing an opportunity for formal and informal sharing with other participants on a continuing basis.

Visiting and making observations in other schools was rated most effective for two objectives: Objective 8, enabling participants to become competent in curriculum development; and Objective 9, enabling participants to develop their schools as total learning environments. For the latter, the opportunity for formal and informal sharing with other participants was also rated most effective.

For Objective 2, enabling participants to develop goals and objectives for their schools, the only strategy rated most effective was having staff work intensively with each participant. Interestingly, the process of developing and analyzing goals and objectives for their schools was the only strategy rated most effective in achieving Objective 3, enabling participants to develop a program of school assessment. For some Objectives, no strategies were rated most effective (Objectives 5,6,7,10,11), although every objective had some effective strategies.

Least Effective Strategies

Only a few strategies were rated least effective, and these tended to be the same across objectives. Most frequently rated least effective was providing reading material in various areas, tempting one to conclude that the use of reading materials is a very ineffective training technique. However, typically when reading material was distributed to the participants, it was not followed by reading-related discussion at the next Institute, and this may account for the lack of effectiveness of this as a strategy. It would seem that if reading material is to constitute an important component of future training programs, some provision

should be made for following up on the reading in some more organized way.

Three other strategies were rated least effective by staff and participants: enabling participants to register for courses, providing mini-seminars on various topics, and making consultants available to visit the schools. It should be noted that these strategies were utilized with only a few participants, which partially accounts for their low ratings.

Staff vs Participant Ratings

In general, staff and participant reactions to the training were very similar; on only three strategies were there large discrepancies between them. Whereas staff rated the mini-seminars as most effective, participants rated them least effective in enabling them to become aware of themselves as educational leaders. Undoubtedly part of the reason for this discrepancy is the previously mentioned fact that not all of the participants took part in the mini-seminars. Two other strategies, staff visits to schools (for Objective 2) and the use of case studies in seminar situations (for Objective 4) were rated least effective by staff and most effective by participants. In these cases, it seems likely that staff simply did not recognize the value of these strategies to the participants.

Conclusion

The previous paragraphs indicate that what constitutes the most effective training strategy or activity depends upon the objective of the training. Thus, whereas role playing and videotape analysis were among the most effective activities for Objectives 1 and 4, visiting other schools and discussing these visits was most effective for Objectives 8 and 9, etc. In most cases in which the same strategy was used for more than one objective, the discrepancy between the ratings was not large; so a strategy might be most effective for one objective and effective for another, etc.

Chapter V.
IMPLICATIONS AND RECOMMENDATIONS

> "No individual experience, however, can account for the support which the total experience has given. Being with, listening to, and sharing with other principals on a consistent basis has helped me to define my own problems, to find possible solutions, and to look forward to future success."

Many changes in the participating principals and their schools have been described, although it is not possible to identify causal relationships between specific training activities and any one of these changes. However, the significance of the Program goes far beyond its impact on the 12 participating principals and their schools. The competencies developed by program staff and participants have served as a basis for other programs, both within the College and in other communities. Program participants have served as trainers in these programs, and their schools have been used as models for principals of other schools. Most important, however, are the implications of the findings for the selection and the preservice and inservice training of elementary school principals, and for future research in the area.

Implications for Selection

1) Our experience indicates that there is a clear philosophy or point of view about education that characterizes the successful educational leader. Central to this viewpoint is a valuing of the dignity and worth of every person, and a commitment to the development of the potential inherent in children and adults. The educational leader is a knowledgeable, learning, thinking person, appreciative of the aesthetic, who is interested in ideas and responsive to experiment and innovation. Economically and politically astute, he or she is a judicious risk taker, who makes decisions with wisdom and judgment. As a humanistic change agent, the leader is able to develop open and honest relationships with a wide range of people of various age levels and different life experiences.

2) Groups and individuals hiring persons for the role of elementary school principal should first carefully analyze the needs of the particular school involved, and the competencies of the existing leadership team, in order to select a candidate with competencies most appropriate to the specific school situation.

3) In order to provide the most comprehensive view possible of prospective candidates for the principalship, it is recommended that selection be done by a committee or group rather than an individual. Although it is not always possible, the best way of assessing a person's competence and potential is by direct observation in a work setting. This may be accomplished through observation or videotapes of candidates in their current work situation, or through their placement in an internship program in which they can be observed over a longer period of time. Information obtained in this way may be supplemented by written forms and questionnaires and by personal interviews. The latter are particularly productive if the interviewing process includes such activities as role playing or case analysis.

Implications for Training—Preservice and Inservice

1) To be most effective, training programs for adults should be based on principles of adult learning and change. The following five basic considerations should underlie any training program:

(a) clarity of role expectations and needed competencies;

(b) developing an awareness of self;

(c) gaining new knowledge, concepts and techniques;

(d) commitment to learning and growth; and

(e) experiencing and practicing new competencies.

2) Training experiences should be integrated, and should provide the opportunity for ongoing interaction with, and the development of mutual support with peers in the training program. Such integration can be accomplished through the scheduling of longer meeting times (eg half-day, or even two- or three-day sessions), or through such mechanisms as advisement services for students, integrating seminars, etc. It is important that adequate time be allowed for training sessions so that experiences can build on one another.

3) Where possible, participation in training programs should be voluntary, since adults are most open to change when they do not feel coerced. Participants should understand the time requirements involved and be willing to commit the appropriate time to the program.

4) The objectives of a training program must be specified before training activities are planned since the most effective training strategy depends on the objective.

5) Trainees should include a mixture of people of various ages, sexes and ethnic backgrounds, and represent as great a variety of school settings (including urban and suburban) as possible in order to provide a richer training experience.

6) It is difficult for principals to act as trainers of principals in their own school districts. Therefore, in programs in which peer training is to be a component principals from several school districts should be included.

7) In inservice programs for principals, the role played by the Superintendent is crucial in determining the reactions of non-participating principals and in disseminating program activities and findings. Therefore, the Superintendent and/or other district level personnel should be deeply involved in the planning, implementation, and dissemination of inservice programs.

8) All training programs, whether preservice or inservice should provide mechanisms for meeting the individual needs of the participants, since these vary widely depending on the sex and previous experience of the principal, the size of the school, etc.

9) The following areas, which reflect needs of elementary school principals and their schools, should be included in both preservice and inservice training programs:

(a) staff development techniques, especially those relating to developing curriculum and the learning environment, and those requiring diagnostic and evaluative skill;

(b) techniques for delegating leadership responsibilities and for developing leadership capabilities among staff;

(c) community relations skills, especially those involved in communicating with the community;

(d) developing a humanistic school climate, especially facilitating interpersonal relationships between the principal and the staff, and among the staff;

(e) establishing goals and objectives for the school and for the principal, which not only provides an organizational framework for planning, but which may help many principals to foster an improved school climate;

(f) explorations of available resources within the community; and

(g) experiences that foster ethnic-cultural awareness and understanding, and emphasize the importance of encouraging this awareness and understanding in children and staff.

(h) school management and organization, including the financial and legal aspects of administration.

10) The following training strategies, rated most effective by project participants and staff, are recommended for use in training programs for principals:

(a) opportunities for experiential learning;

(b) opportunities to observe other educational programs and models of educational leaders;

(c) group analysis and problem-solving activities based on real-life situations (such as analysis of videotapes); and

(d) opportunities for an identification with a group of peers on an ongoing basis.

11) To give breadth, depth and new experiences to training sessions, school systems should utilize the services of outside agencies as well as their own resources.

Implications for Research

1) A large number of questions have been raised by our findings which can be answered only by further research. The first set of questions concerns the extent to which the participating principals and their schools are representative of elementary schools and principals generally. For example, is it typical for principals to see management as their greatest strength, and staff development techniques as their greatest need? To see curriculum and community relations as their greatest school problems? To put their greatest effort into curriculum and staff development?

A related set of questions concerns the explanation for these results. Why do principals see management as their greatest strength? Because they have had previous training in these skills? Because this is the area they value most highly? Because this is the area they perceive that others (e.g. school boards, parents, teachers, etc.) value most highly? Why did they make the greatest changes in the area of curriculum? Because they considered this most important, or because this is what they know how to do? A much more extensive study with a more sophisticated research design would be required to begin to provide some answers to these types of questions.

2) A second set of questions concerns the differences among the participants in the Program, particularly those differences associated with the sex of a principal. Why do men and women see their competencies differently? Why did they tend to work in different areas in their schools? Because of different previous experience and training? Because of different values? Are sex differences disappearing in younger people preparing themselves for the principalship? Many interesting studies could be conducted exploring the ramifications of these intersting differences.

3) A third set of questions concerns the relationship between the training activities in the Program and the changes that occurred in the participating principals and their schools. In what ways were the changes occurring in the schools related to the training experiences of the participants? Which changes would have occurred anyway? A considerably more elaborate research design and a much larger sample would be required to provide more definitive information on these issues.

4) A fourth question concerns the long range impact of the Program on the participants and their schools. Our report documents several ways in which participants were beginning to assume new leadership roles by the end of the Program. To what extent did this leadership growth continue after the Program ended? What were the long range impacts of some of the changes that were made in the schools? What new problems arose as a result of these changes? How were they handled? In order to answer these questions a follow-up study would need to be conducted at some point in the future.

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Appendix I.

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Appendix II.

LIST OF PROGRAM PUBLICATIONS

PRINCEPS I, an Occasional Paper of the Program for the Development of the Elementary School Principal as an Educational Leader, April, 1973.

PRINCEPS II, an Occasional Paper of the Program for the Development of the Elementary School Principal as an Educational Leader, April 1974.

Role, Functions, and Competencies of the Elementary School Principal as an Educational Leader, by Gordon J. Klopf, Sallie M. Blake, Ethel S. Scheldon, and Judith Crooks Burnes, 1974, an Occasional Paper in the *Princeps* series.

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